

***FEDERAL ASSISTANCE AWARD
DATA SYSTEM
(FAADS)***

USERS' GUIDE

Office of Management and Budget
General Management Division

U.S. Department of Commerce
Bureau of the Census
(Executive Agent)

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INTRODUCTION

This guide contains a detailed description of the Federal Assistance Award Data System (FAADS). In addition to the technical information on diskette format, Internet availability and access, output records, and data elements, we have included important information on program coverage, system limitations, and other user precautions. ***Please read this guide prior to using FAADS.***

The Bureau of the Census serves as the executive agent responsible for operating FAADS and policy oversight is provided by the General Management Division of the Office of Management and Budget. We invite your feedback and suggestions for improving FAADS. If you have any questions or comments, please contact the Federal Programs Branch at the address and telephone number listed below.

Federal Programs Branch
Governments Division
Bureau of the Census
Washington, DC 20233-6800

Email: faads@census.gov

GENERAL DESCRIPTION

Background

FAADS is required by Title 31, Section 6102(a) of the United States Code. The first FAADS report was issued in February 1981, covering assistance award actions during the first quarter of Federal fiscal year 1981 (October 1 to December 31, 1980).

FAADS is a central collection of selected, computer-based data on Federal financial assistance award transactions, compiled quarterly. Each standard record is identified as being one of two possible types: county aggregate and action-by-action. Each action-by-action record contains such items as the name and location of the recipient (but not the address), the amount of awarded or amended Federal assistance (usually on the basis of the obligated amount), the program under which the award was made, and a project description. For some programs, primarily transfer payments to individuals and large volume loan programs for individual home ownership, data in the record are presented as aggregate amounts for all recipients in each county area. Such aggregate records do not contain all the data elements specified in the standardized format. The record format, which begins on page 8, indicates which items are available in each type of record.

Coverage

All departments and major agencies of the executive branch of the Federal Government with grant making authority are now reporting to FAADS. Appendix A lists selected agencies providing data to FAADS, as well as those smaller Federal agencies identified as providing assistance but not yet reporting. For the fourth quarter of fiscal year 1996, 37 agencies were included in FAADS, although some of the very smallest agencies report only once a year.

Reporting covers approximately 600 Federal assistance programs. While primarily concerned with assistance to State and local governments, all major programs providing transfer payments to individuals, loans, or insurance are also covered. The long-term objective is to include in FAADS all Federal financial assistance programs. This includes all assistance programs listed in the Catalog of Federal Domestic Assistance (CFDA) as well as financial assistance awards made by Federal agencies but not included in the CFDA.

Relationship to Other Systems/Processes

The Intergovernmental Cooperation Act of 1968, the Federal Program Information Act, the Legislative Reorganization Act of 1970 and the Federal Grant and Cooperative Agreement Act of 1977 require Federal agencies to provide fiscal, budgetary, and program-related information to State and local governments and to the Congress. FAADS assists Federal agencies in complying with applicable sections of these statutes, and promotes the government's effort to provide access to information on Federal assistance activities. Other related efforts include the Catalog of Federal Domestic Assistance (CFDA), Federal Assistance Programs Retrieval System (FAPRS), Budget Information for States (BIS) report, and the Consolidated Federal Funds Report Act (Title 31, U.S. Code, Chapter 62).

The CFDA and its automated companion, FAPRS, present a summary of Federal domestic assistance programs available from Federal executive branch agencies. In addition to program description and other information, the CFDA provides data on Federal funding for past and current budget years.

The BIS reports estimates of potential State allocations of Federal formula grant funds from Federal executive branch agencies for the budget year, as well as the past and current years.

The Consolidated Federal Funds Report Act required the publication of data on Federal Government expenditures on a geographic basis. These annual reports are developed from existing data sources, including FAADS, within the Federal Government. Coverage includes grants and payments to State and local governments, salaries and wages of Federal employees, Federal Government procurement awards, and direct Federal payments for individuals.

Executive Order 12372 outlines the Federal Government's system of consultation with the States on applications for grants, direct development, and other forms of financial assistance. The States, in consultation with their local governments, design their own process of review for applications of Federal financial assistance, and determine which programs are subject to review. The FAADS helps the States in this review process through the inclusion of the State Application Identifier (SAI) number in field two in the FAADS records. The SAI number is assigned by State review agencies during the grant application process. However, not every agency incorporates the SAI number into the internal data file(s) used to generate the records submitted for FAADS processing.

Users need to be aware of the commonalities and differences among the various reports mentioned above. While each report serves a specific purpose, knowledge about the relationships among the reports, the President's budget, and the funds made available through Congressional enactment of appropriations plays a vital part in understanding the nature of the allocation and distribution of Federal funds. Due to differences in definitions or reporting bases (such as obligations vs. expenditures, or fiscal year vs. calendar year vs. program year), users are cautioned that amounts appearing in one report may not match amounts found in other reports.

System Limitations

FAADS is a quarterly compilation of Federal assistance actions. No summation, consolidation, or other linkage with previous or future quarterly data is provided to users. Because each quarterly report stands on its own, it is necessary for users to refer to previous and future quarterly data to obtain a complete picture of assistance actions. The series of FAADS data files provides a basic data source for analysis of Federal assistance awards by those who wish to apply their own data evaluation programming. FAADS is **not** a "database" to be queried. It is a sequential file that can only be "read" by a custom-written computer program. Efforts are underway to convert to CD-ROM all prior FAADS files originally produced and maintained on mainframe computer tapes. To obtain historic data, contact the Federal Programs Branch (See page 1).

FAADS is **not** an accounting system. The funds reported in FAADS may differ from those reported in various accounting or finance systems. Some differences are due to agency reporting practices, while others result from differences in effective reporting dates or interpretations of definitions and requirements.

Reporting in FAADS is based on the geographic location of the initial recipient. This may be different from the location of the funded project and could also be different from the location of secondary recipients or the prime beneficiaries. Information on project location has been provided for each transaction record since 1983.

Another caution is that funding amounts for loan guarantees, insurance, and other forms of contingent liabilities do not in all cases represent an actual flow of Federal funds. The user needs to understand the type of financial assistance (e.g., grant, cooperative agreement, direct loan) provided by a specific Federal award so that the amount of Federal funding reported is not misinterpreted.

DATA AVAILABILITY

Data are submitted quarterly by the Federal agencies. These data are then compiled on a government-wide basis for OMB by its executive agent, the Bureau of the Census. Agency submissions are due within 30 days after the end of the quarter. Submissions that fail to meet the reporting deadline are not integrated into FAADS until the following quarter.

U.S. Congress

Complete data files are provided quarterly to the U.S. Congress. The servicing agencies are:

House Information Resources
Ford House Office Building
Sixth Floor
Washington, DC 20515-6165

U.S. Senate Computer Center
Postal Square Building
2 Massachusetts Avenue, NE
Washington, DC 20510-7202

Telephone: (202) 226-6438

Telephone: (202) 224-3976

Congressional members or their staff can obtain FAADS information directly from these servicing agencies. If additional information is needed, congressional staff should directly contact the Federal Programs Branch for assistance (see page 1).

The general public cannot obtain access to the FAADS information through servicing agencies of the U.S. Congress. Anyone wanting access to FAADS data should contact the Federal Programs Branch at the address and telephone number listed on page 1.

Federal Agencies

Many Federal agencies have found uses for the FAADS quarterly files, or some variation thereof. Inquiries should be made directly to the Bureau of the Census, Federal Programs Branch (see page 1).

State Governments

Complete data files are provided to the State and Territorial governments. Each State or Territory can request the data file in electronic form (diskettes, Internet, or CD-ROM), or print image form on diskettes. Hard copy of the data no longer will be provided. Specific arrangements can be made with the FAADS staff for electronic (Internet) transmission to a State government office.

Each State and Territory is encouraged to share the FAADS information with its political subdivisions and the general public.

General Public

The general public can obtain FAADS files, on a fee basis, for fiscal years prior to 1996 on magnetic tape from:

Administrative and Customer Services Division
Bureau of the Census
Washington, DC 20233-1900

Telephone: (202) 457-4100

National Archives and Records Administration
Center for Electronic Records
National Archives at College Park
8601 Adelphi Road
College Park, MD 20740-6001

Telephone: (301) 713-6645

FAADS data files for fiscal year 1996 are available, and data files for future quarters will be available, on a fee basis on CD-ROM from the National Archives and Records Administration (see above address and telephone number).

The data file for the latest available quarter also is accessible by the public from the world-wide-web home page of the Governments Division of the Census Bureau. The site address is:

[http:// www.census.gov/govs/www/faads.html](http://www.census.gov/govs/www/faads.html)

Special requests, such as partial FAADS files, cannot be accommodated. Users, however, should contact the Federal Programs Branch (see page 1) for further information.

DATA CHARACTERISTICS

Record Contents

There are two types of FAADS records: action-by-action and county aggregate. Both types use the same record format containing 34 data element fields. Action-by-action records usually contain data in each field, except where the submitting agency was unable to provide those data. County aggregate records, on the other hand, will not contain data in all fields, since data for numerous individual actions are summarized into one record. Examples include activities such as entitlement payments made directly for individuals, or other large volume transactions, such as housing loans and flood insurance. When these transactions are aggregated at the county level, not all data elements are additive. Therefore, some data fields are blank. County aggregate records normally contain data in up to 20 fields; but some variance may occur because of differing agency practices. The FAADS record format, which follows, contains asterisks (*) for fields which do not apply to county aggregate reporting.

The records have been sorted by State and Territory (alphabetically by State, followed by the Territories). Within each State, action-by-action records appear before county aggregate records. Within these groupings, the records are sorted by Federal agency, CFDA program number, county and city name (action by action records only). All sorts are in alphanumeric ascending order, except Record Type (Field 26) which is in descending order.

The output files sent to States contain data that pertain only to the receiving State. A complete data file covering all States and Territories can be purchased from the National Archives and Records Administration or the Bureau of the Census, or downloaded from the Census Bureau's homepage on the world-wide-web.

Users with questions about processing quarterly FAADS files should contact the Federal Programs Branch (see page 1).

Diskette Specifications

The FAADS quarterly diskette contains only the data for the current quarter. The specifications are:

- Record length = up to 624 characters
- MS-DOS compatible
- 3 ½ inch diskettes only
- Fixed field ASCII data
- Packed by PKZIP software (to be UNZIPPED by user) or not packed (user specified)

RECORD FORMAT

Field No.	<u>Data Element</u>	<u>Data Type</u>	<u>Field Length</u>	<u>Record Position</u>
1	<u>CFDA Program Number</u> Six-position program number from the latest edition of the CFDA (left justified, space filled). Field is seven positions to accommodate possible expansion in this number. If CFDA program number is not available, a pseudo-code is used. This consists of the first two positions of the agency's CFDA program numbering series, followed by AAA, AAB, etc. for each program being reported. Program titles are listed in field 31.	AN	7	1-7
2	<u>State Application Identifier (SAI Number)</u> If the program being reported is not subject to State review in accordance with Executive Order 12372 and no number is reported, "SAI EXEMPT" is entered. If the program is subject to State review under EO 12372 but for some reason the SAI is not available, "SAI NOT AVAILABLE" is entered (left justified).	AN	20	8-27
3	<u>Recipient Name</u> Left justified, space filled. For county aggregate records, will read "MULTIPLE RECIPIENTS."	AN	45	28-72
4*	<u>Recipient City Code</u> Five position FIPS 55-3 place code.	AN	5	73-77
5*	<u>Recipient City Name</u> Left justified, space filled.	AN	21	78-98
6	<u>Recipient County Code</u> Three-position numeric code for county from FIPS PUB 6-4.	AN	3	99-101
7	<u>Recipient County Name</u> Left justified, space filled.	AN	21	102-122
8	<u>Recipient State Code</u> Two-position numeric code for State or territory from FIPS PUB 5-1. The State name is provided in field 33.	AN	2	123-124
9*	<u>Recipient Zip Code</u> Nine-position numeric U.S. Postal Service Zip code (left justified, space filled). The first five positions are required. The remaining four positions are reported, where available.	AN	9	125-133
10	<u>Project Description</u> Left justified, space filled.	AN	149	134-282

* Field will be blank in county aggregate reporting.

Field No.	Data Element	Data Type	Field Length	Record Position
11	<p><u>Type of Recipient</u> Two-position numeric code which depicts the type of recipient or borrower.</p> <p>Government codes: 00 = State government 01 = county government 02 = city or township government 04 = special district government 05 = independent school district 06 = State controlled institution of higher education</p> <p>Nonprofit agencies: 11 = Indian tribe 12 = other nonprofit</p> <p>Private: 20 = private higher education 21 = individual 22 = profit organization 23 = small business 25 = all other</p>	AN	2	283-284
12*	<p><u>Type of Action</u> A = new assistance action B = continuation (funding in succeeding budget period which stemmed from prior agreement to fund - amount of the current action) C = revision (any change in Federal Government's financial obligation or contingent liability in existing assistance transaction - amount of the <u>change</u> in funding) D = funding adjustment to completed project.</p>	AN	1	285
13	<p><u>Recipient Congressional District</u> Two-position numeric code for congressional district of the recipient. For a congressional district at large, a "00" is entered. For jurisdictions with a nonvoting delegate, a "98" is entered. For jurisdictions with no representative, the designation "99" is entered. Where a jurisdiction is included in more than one congressional district, a code "90" might be used when a more precise notation is not available. The district designations reflect the Congressional Districts of the 103rd Congress.</p>	AN	2	286-287
14	<p><u>Federal Agency/Organizational Unit Code</u> Four-position FIPS-95 agency/bureau sequencing numeric code. The agency name is provided in field 32.</p>	AN	4	288-291

* Field will be blank in county aggregate reporting.

Field No.	Data Element	Data Type	Field Length	Record Position
15*	<u>Federal Award Identifier Number</u> The number reflects each Federal agency's unique coding system for identifying individual assistance awards. Entries are left justified, space filled. a. Core number b. Modification number	AN AN	16 4	292-307 308-311
16	<u>Federal Funding Sign</u> Minus sign indicates decrease in Federal Government's obligation or contingent liability; if not a decrease, position is blank.	AN	1	312
17	<u>Federal Funding Amount</u> Right justified with leading zeros; in whole dollar amount.	N	10	313-322
18	<u>Non-Federal Funding Sign</u> Minus sign indicates decrease in all reported non-Federal funding; if not a decrease, position is blank.	AN	1	323
19	<u>Non-Federal Funding Amount</u> Right justified with leading zeros; in whole dollar amount.	N	10	324-333
20	<u>Total Funding Sign</u> Minus sign indicates decrease in total funding; if not a decrease, position is blank.	AN	1	334
21	<u>Total Funding Amount</u> Right justified with leading zeros; in whole dollar amount.	N	11	335-345
22	<u>Obligation/Action Date</u> Entered numeric as yymmdd. For county aggregate records, entry will be the last day of the quarter.	AN	6	346-351
23*	<u>Starting Date</u> Entered numeric as yymmdd.	AN	6	352-357
24*	<u>Ending Date</u> Entered numeric as yymmdd.	AN	6	358-363

* Field will be blank in county aggregate reporting.

<u>Field No.</u>	<u>Data Element</u>	<u>Data Type</u>	<u>Field Length</u>	<u>Record Position</u>
25	<p><u>Type of Assistance Transaction</u></p> <p>02 = block grant (A) 03 = formula grant (A) 04 = project grant (B) 05 = cooperative agreement (B) 06 = direct payment for specified use, as a subsidy or other non-reimbursable direct financial aid (C) 07 = direct loan (E) 08 = guaranteed/insured loan (F) 09 = insurance (G) 10 = direct payment with unrestricted use (retirement, pension, veterans benefits, etc.) (D) 11 = other reimbursable, contingent, intangible, or indirect financial assistance</p> <p>NOTE:</p> <p>The alphabetic designation following each entry above refers to the type of assistance in the <u>Catalog of Federal Domestic Assistance</u>.</p>	AN	2	364-365
26	<p><u>Record Type</u></p> <p>1 = county aggregate reporting 2 = action-by-action reporting</p>	AN	1	366
27	<p><u>Correction/Late Indicator</u></p> <p>C = correction to a record reported in a prior quarter (funding amount is the amount of change, if any). L = late reporting of an action occurring in a prior quarter. blank = current entry</p>	AN	1	367
28	<p><u>Fiscal Year and Quarter Correction</u></p> <p>Three position numeric designation of the fiscal year and quarter to which the corrected or late record applies. The format is yyq. Field is blank for current quarter records.</p>	AN	3	368-370

Field No.	Data Element	Data Type	Field Length	Record Position
29	<p><u>Principal Place of Performance Code</u> The entry is the numeric code for the principal place of performance--the project being funded. The field contains seven positions.</p> <p><u>State:</u> The first two positions (371, 372) are the numeric FIPS code for the State, territory, or the District of Columbia. A "00" code followed by five asterisks (*) indicates a multi-State project. A "00" numeric code followed by "FORGN" in the next five positions indicates the place of performance is in a foreign country.</p> <p><u>County or city:</u> Positions 373 through 377 indicate the principal county or city of performance (project location).</p> <p>If the project is Statewide, asterisks appear in positions 373 through 377. If the project is countywide, or in more than one county, the three character numeric FIPS code for the county, or county of principal performance, appears in positions 375-377, preceded by two asterisks. All FAADS transactions reported on a county aggregate basis are in the countywide format.</p> <p>If the principal place of performance is a particular city, the five character numeric FIPS 55 place code is in positions 373-377.</p>	AN	7	371-377
30	<p><u>Principal Place of Performance</u> The name of the State or territory, and county or city of performance, are indicated. Entries are left justified, space filled within each subfield.</p> <p><u>State</u> <u>County or city</u></p>	AN	50	378-427
		AN	25	378-402
		AN	25	403-427
31	<p><u>CFDA Program Title</u> The title of the program under which the award is being funded, taken from the <u>Catalog of Federal Domestic Assistance</u>. Entry is left justified, space filled.</p>	AN	74	428-501
32	<p><u>Federal Agency Name</u> The name of the agency making the award of financial assistance. Entry is left justified, space filled.</p>	AN	72	502-573
33	<p><u>State Name</u> The name of the State or territory in which the recipient of the award is located.</p>	AN	25	574-598
34	<p><u>Reserve</u> (blank)</p>	AN	26	599-624

FAADS DATA QUALITY

Edit Checks

The Bureau of the Census performs a series of edit checks to try to ensure input requirements are met and data in certain fields are valid. There are edit checks for nearly every data element. All input records of each Federal agency's FAADS submission are edited. Copies of the edit specifications are available upon request.

Federal Agency Compliance

FAADS is dependent upon data supplied by Federal departments and agencies. Since agency operations are established primarily to meet their internal requirements, some agencies are not capable of reporting all requested data. Agencies were requested to submit waiver applications to OMB when specific reporting provisions could not be met. A summary of Federal agency compliance accompanies each FAADS report to assist the user in interpreting the data.

APPENDIX A

LIST OF SELECTED PARTICIPATING FEDERAL DEPARTMENTS AND AGENCIES FOR FISCAL YEAR 1997

Agriculture, Department of

- Agricultural Marketing Service
- Agricultural Research Service
- Animal and Plant Health Inspection Service
- Cooperative State Research, Education and Extension Service
- Economic Research Service

- Farm Service Agency
- Federal Crop Insurance Corporation
- Food and Consumer Service
- Food Safety and Inspection Service
- Foreign Agricultural Service

- Forest Service
- Grain Inspection, Packers and Stockyards Administration
- National Agricultural Statistics Service
- Natural Resources Conservation Service
- Office of International Cooperation and Development

- Rural Business Cooperative Service
- Rural Housing Service
- Rural Utilities Service

Appalachian Regional Commission (only reporting programs for which
ARC obligates funds directly)

Barry M. Goldwater Scholarship and Excellence in Education Foundation

Commerce, Department of

- International Trade Administration
- National Institute of Standards and Technology
- Minority Business Development Agency
- National Oceanic and Atmospheric Administration
- National Telecommunications and Information Administration
- Technology Administration

Christopher Columbus Fellowship Foundation

Corporation for National Service (formerly ACTION)

Defense, Department of

Education, Department of

- Bilingual Education and Minority Language Affairs
- Educational Research and Improvement
- Elementary and Secondary Education
- Postsecondary Education
- Special Education and Rehabilitative Services
- Vocational and Adult Education

Energy, Department of

Civilian Radioactive Waste Management
 Energy Efficiency and Renewable Energy
 Environment, Safety and Health
 Energy Research
 Environmental Management

Fossil Energy
 Economic Impact and Diversity
 Nuclear Energy
 Science Education and Technical Information
 Technology Partnerships and Economic Competitiveness

Environmental Protection Agency

Assistant Administrator for Administration and Resources Management
 Assistant Administrator for Air and Radiation
 Assistant Administrator for Enforcement
 Assistant Administrator for International Activities
 Assistant Administrator for Pesticides and Toxic Substances

Assistant Administrator for Policy Planning and Evaluation
 Assistant Administrator for Research and Development
 Assistant Administrator for Solid Waste and Emergency Response
 Assistant Administrator for Water

Equal Employment Opportunity Commission**Federal Emergency Management Agency**

Federal Insurance Administration
 Mitigation Directorate
 Preparedness, Training and Exercises Directorate
 Response and Recovery Directorate
 U.S. Fire Administration

Federal Mediation and Conciliation Service**Harry S Truman Scholarship Foundation****Health and Human Services, Department of**

Administration for Children and Families
 Health Care Financing Administration
 Public Health Service
 Centers for Disease Control and Prevention
 Food and Drug Administration
 Indian Health Service
 National Institutes of Health
 Substance Abuse and Mental Health Services Administration

Housing and Urban Development, Department of

Community Planning and Development
 Federal Housing Commissioner
 Lead-Based Paint Abatement and Poisoning Prevention
 Policy Development and Research
 Public and Indian Housing

Institute of Museum Services

Interior, Department of the

Bureau of Indian Affairs
Bureau of Land Management
Bureau of Reclamation
U.S. Geological Survey
Minerals Management Service

National Park Service
Office of Surface Mining Reclamation and Enforcement
U.S. Fish and Wildlife Service

James Madison Memorial Fellowship Foundation

Japan-United States Friendship Commission

Justice, Department of

Bureau of Justice Statistics
Federal Prison System
National Institute of Justice
Office of Justice Programs
Office of Juvenile Justice and Delinquency Prevention
Community Relations Service

Labor, Department of

Bureau of Labor Statistics
Employment Standards Administration
Employment and Training Administration
Mine Safety and Health Administration
Occupational Safety and Health Administration
Pension and Welfare Benefits Administration
Veterans' Employment and Training Service

Morris K. Udall Scholarship and Excellence in National Environmental Policy Foundation

National Aeronautics and Space Administration

National Archives and Records Administration

National Historical Publications and Records Commission

National Endowment for the Arts

National Endowment for the Humanities

National Science Foundation

Nuclear Regulatory Commission

Office of Navajo and Hopi Indian Relocation

Railroad Retirement Board

Small Business Administration

Smithsonian Institution**Social Security Administration****Transportation, Department of**

Federal Aviation Administration
Federal Highway Administration
Federal Railroad Administration
Federal Transit Administration
Maritime Administration

National Highway Traffic Safety Administration
Research and Special Programs Administration
United States Coast Guard

Treasury, Department of the

Internal Revenue Service

United States Information Agency**United States Institute of Peace****Veterans Affairs, Department of**

Veterans Benefits Administration
Veterans Health Administration

Nonparticipating Agencies

Federal Council on the Arts and the Humanities
National Credit Union Administration
Overseas Private Investment Corporation
Pension Benefit Guaranty Corporation
State, Department of